



UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office

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Washington, D.C. 20231

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NO./TITLE
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DATE MAILED:

**NOTICE TO FILE MISSING PARTS OF APPLICATION**  
**Filing Date Granted**

An Application Number and Filing Date have been assigned to this application. The items indicated below, however, are missing. Applicant is given **TWO MONTHS FROM THE DATE OF THIS NOTICE** within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a). If any of items 1 or 3 through 5 are indicated as missing, the **SURCHARGE** set forth in 37 CFR 1.16(e) of ☐ \$65.00 for a small entity in compliance with 37 CFR 1.27, or ☒ \$130.00 for a non-small entity, must also be timely submitted in reply to this **NOTICE** to avoid abandonment.

If all required items on this form are filed within the period set above, the total amount owed by applicant as a  
☐ small entity (statement filed) ☒ non-small entity is \$ 1274.00.

- ☒ 1. The statutory basic filing fee is:  
☒ missing.  
☐ insufficient.  
Applicant must submit \$ 774.00 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).

- ☒ 2. The following additional claims fees are due:  
\$ 200.00 for 20 total claims over 20.  
\$ 62.00 for 3 independent claims over 3.  
\$ 0.00 for multiple dependent claim surcharge.  
Applicant must either submit the additional claim fees or cancel additional claims for which fees are due.

- ☒ 3. The oath or declaration:  
☐ is missing or unsigned.  
☐ does not cover the newly submitted items.  
An oath or declaration in compliance with 37 CFR 1.63, including residence information and identifying the application by the above Application Number and Filing Date is required.

- ☐ 4. The signature(s) to the oath or declaration is/are by a person other than inventor or person qualified under 37 CFR 1.42, 1.43 or 1.47.  
A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.

- ☐ 5. The signature of the following joint inventor(s) is missing from the oath or declaration:

An oath or declaration in compliance with 37 CFR 1.63 listing the names of all inventors and signed by the omitted inventor(s), identifying this application by the above Application Number and Filing Date, is required.

- ☐ 6. A \$50.00 processing fee is required since your check was returned without payment (37 CFR 1.21(m)).

- ☐ 7. Your filing receipt was mailed in error because your check was returned without payment.

- ☐ 8. The application was filed in a language other than English.

Applicant must file a verified English translation of the application, the \$130.00 set forth in 37 CFR 1.17(k), unless previously indicated by a statement that the translation is not required (37 CFR 1.17(k)).

OTHER

Direct the reply and any questions about this notice to "Attention: Box Missing Parts"

**A copy of this notice MUST be returned with the reply.**

03/23/2000 YGIZAW 00000013 201430 458299

Customer Service Center  
Initial Patent Examination Division (703) 308-1202

01 FC:101 130.00 CH  
02 FC:102 524.00 CH  
03 FC:103 342.00 CH  
04 FC:105 130.00 CH

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to:

Assistant Commissioner for Patents,

Attn: Box Missing Parts,

Washington, D.C. 20231, on 17 March 2000

PATENT

Attorney Docket No. 18623-0148-00US

TOWNSEND and TOWNSEND and CREW LLP  
By Melinda Baggett



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

JOHN FIKES *et al.*

Application No.: 09/458,299

Filed: December 10, 1999

For: INDUCING CELLULAR IMMUNE  
RESPONSES TO HER2/neu USING  
PEPTIDE AND NUCLEIC ACID  
COMPOSITIONS

Examiner:

Art Unit: 1646

TRANSMITTAL LETTER - RESPONSE  
TO NOTICE OF MISSING PARTS

Attn: Box Missing Parts  
Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

Pursuant to the Notice to File Missing Parts of Application - Filing Date Granted dated February 2, 2000, enclosed are the following to be made of record in the above-identified application:

- 1) Executed Declaration and Power of Attorney in two counterparts
- 2) Copy of Notice of Missing Parts

JOHN FIKES et al.

Application No.: 09/458,299

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Please charge Deposit Account No. 20-1430 for the following fees:

Large entity: (a) Filing Fee (§ 1.16(a)) (Large Entity) \$ 690.00

(b) Excess Claims Fees (§ 1.16(b), (c)):

39 - 20 = 19 x \$18 = \$ 342.00

11 - 3 = 8 x \$78 = \$ 624.00

(c) Missing Parts Surcharge \$ 130.00

**TOTAL FEES TO BE CHARGED**

**\$ 1,786.00**

The Commissioner is hereby authorized to charge any additional fees associated with this paper or during the pendency of this application, or credit any overpayment, to Deposit Account No. 20-1430. This Transmittal Letter is submitted in triplicate.

Respectfully submitted,



Annette S. Parent

Reg. No. 42,058

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JML/mcd:

rev. 3/00

SF 150886 v1

SF 1078159 v1